

2S DEPARTMENT OF COMMERCE UNITED S

Patent and Trademark Office
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· APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORN	ATTORNEY DOCKET NO	
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		•	EXA	EXAMINER	
•					
			ART UNIT	PAPER NUMBER	
				10	
			DATE MAILED:		
•	INTERV	IEW SUMMARY			
All participants (applicant, applican	t's representative PTO personne	۸۰			
All participants (applicant, applicant	10 A Al 77 AUT	,. (0)			
(1) Craig Summer Fiel	K, 129 105.31, 447	(3)			
(2)	- H2	(4)			
Date of Interview	78			•	
Type: Telephonic Persona	I (copy is given to applicant	applicant's representative).	• •	
Exhibit shown or demonstration co	nducted: Yes No If yes,	brief description:		<u> </u>	
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			-1	*.	
Agreement was reached.	was not reacned.	•	*		
Claim(s) discussed: 83	1 1 1 1	1'115 -	<u> </u>		
Identification of prior art discussed	Averk 10in etal	(US 5833613	3)	<u> </u>	
Description of the general nature o	f what was agreed to if an agreen	nent was reached, or any othe	r comments: The	Examina	
contacted Atty to	resolve claim &	3 lovemone 1	vs Claima	6,12 and 32	
+11 +1	it in the	+ 0.	laws	# + c.t.	
of Averkjou exact,	with incorporation	n mo com	A I	1: 41 1	
15 adapted to ope	note in the obse	nce ot a con	wast ogen	I in the Suly,	
during the imag	ing sexsion.		t .		
(A fuller description, if necessary, must be attached. Also, where no attached.)	and a copy of the amendments, if copy of the amendments which w	available, which the examiner ould render the claims allowal	r agreed would render ble is available, a sum	the claims allowable mary thereof must be	
1. It is not necessary for applic	ant to provide a separate record o	of the substance of the intervie	ew.		
Unless the paragraph above has b IS NOT WAIVED AND MUST INCL action has are ready been filed, AF SUBSTANCE OF THE INTERVIEW	een checked to indicate to the co LUDE THE SUBSTANCE OF THE PPLICANT IS GIVEN ONE MONT	ntrary. A FORMAL WRITTEN INTERVIEW. (See MPEP Se	RESPONSE TO THE	ponse to the last Office	
Since the Examiner's intervi- rejections and requirements is considered to fulfill the res the interview unless box 1 ar	that may be present in the last O sponse requirements of the last O	ffice action, and since the clair	ms are now allowable,	this completed form	
Examiner Note: You must sign this	form unless it is an attachment to	another form.	Λ	Eum fun	
FORM PTOL-413 (REV.1-96)	•	•	Fra Pri	ncis J. Jaworski mary Examiner	

Manual of Patent Examining Procedure, Section 713.04 Substance of Interview must Be Made of Record

A complete written statement as to the substance of <u>any</u> face-to-face or telephone <u>interview</u> with regard to an application <u>must be made of record in the application</u> whether or not an agreement with the examiner was reached at the interview.

§1.133 Interviews

(b) In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be <u>filed</u> by the applicant. An interview does not remove the necessity for response to Office action as specified in §§ 1.111,1.135. (35 U.S.C.132)

§ 1.2. Business to be transacted in writing. All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete a two-sheet carbon interleaf Interview Summary Form for each interview held after January 1, 1978 where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks in neat handwritten form using a ball point pen. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below.

The Interview Summary Form shall be given an appropriate paper number, placed in the right hand portion of the file, and listed on the "Contents" list on the file wrapper. The docket and serial register cards need not be updated to reflect interviews. In a personal interview, the duplicate copy of the Form is removed and given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephonic interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the telephonic interview rather than with the next official communication.

The Form provides for recordation of the following information:

- -Serial Number of the application
- -Name of applicant
- -Name of examiner

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- -Date of interview
- Type of interview (personal or telephonic)
- -Name of participant(s)) (applicant, attorney or agent, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- -An identification of the claims discussed
- -An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy
 of amendments or claims agreed as being allowable). (Agreements as to allowability are tentative and do not restrict further action by the examiner to the
 contrary.)
- -The signature of the examiner who conducted the interview
- -Names of other Patent and Trademark Office personnel present.

The Form also contains a statement reminding the applicant of his responsibility to record the substance of the interview.

It is desireable that the examiner orally remind the applicant of his obligation to record the substance of the interview in each case unless both applicant and examiner agree that the examiner will record same. Where the examiner agrees to record the substance of the interview, or when it is adequately recorded on the Form or in an attachment to the Form, the examiner should check a box at the bottom of the Form informing the applicant that he need not supplement the Form by submitting a separate record of the substance of the interview.

It should be noted, however, that the Interview Summary Form witl not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview:

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner. The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he feels were or might be persuasive to the examiner,
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Stimmary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete or accurate, the examiner will give the applicant one month from the date of the notifying letter or the remainder of any period for response, whichever is longer, to complete the response and thereby avoid abandonment of the application (37 CFR 1.135(c)).

Examiner to Check for Accuracy

Applicant's summary of what took place at the interview should be carefully checked to determine the accuracy of any argument or statement attributed to the examiner during the interview. If there is an inaccuracy and it bears directly on the question of patentability, it should be pointed out in the next Office letter. If the claims are allowable for other reasons of record, the examiner should send a letter setting forth his or her version of the statement attributed to him. If the record is complete and accurate, the examiner should place the indication "Interview record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.